

LESSON 7

Procedures for Visitors

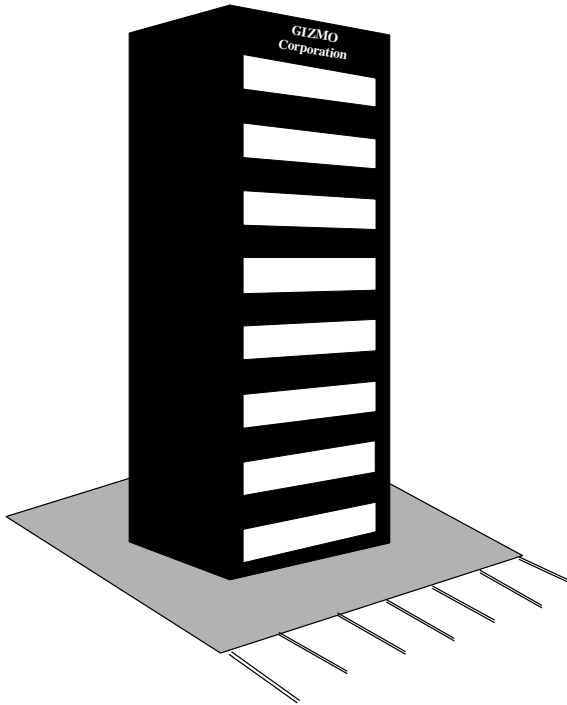
A "classified visit," as defined by the NISPOM, refers to a visit where the visitor requires access to classified information. As we are dealing in this course with non-possessing facilities, we are going to look only at those visit control procedures that apply to a visitor from a non-possessing facility who is visiting a possessing facility or government activity, where he or she will have access to classified information. This lesson will **not** address the control of visitors at a possessing facility, which is the other side of the coin.

OBJECTIVES

When you have completed this lesson, you should be able to do the following:

- Define a visit under the terms of the NISP.
- Complete a visit authorization letter for a visitor from one facility to another facility.
- Given a situation, decide whether contract related or non-contract related visit procedures apply.
- Follow through on the steps involved in either the contract related or non-contract related visit.

CLASSIFIED VISITS



We are concerned only with a very specific sort of visit. A visit, as we are defining it here, is a visit that involves access to classified information. Since this volume is directed primarily at facilities which do not keep classified materials or information in-house, our concern will be with those cleared personnel who will be visiting another cleared contractor's facility or a government agency to gain access to classified information.

We have said that the purpose of a classified visit is to access classified information. Note, however, that in some instances the visit itself may not require access to classified information, but the visitor cannot be successfully isolated from classified material that the host may have on site. For example, a serviceman might have to board a ship in order to repair a piece of equipment that cannot be removed. If, in order to repair the equipment, he has to work in a compartment or cabin that contains information classified SECRET and adequate measures cannot be taken to prevent him from gaining knowledge of the classified information, then the serviceman must have a clearance at the SECRET level, even though he has no direct concern with the other mysterious equipment, personnel, or activities in the area in which he is working. If the visitor cannot be excluded from access, then the visit becomes a classified visit and all the requirements that are associated with such a visit must be met.

CONTRACT RELATED VISITS

Under the NISPOM there are two distinct types of visits.

A *contract related visit* is a classified visit by an employee of a cleared contractor to another cleared contractor or User Agency with which the employee's company has a *classified contractual relationship*. Remember that the definition of a classified contract includes all phases of pre-contract activity (see **Appendix C, NISPOM**). Therefore, a visit to a prospective subcontractor may be considered a contract related visit. However, a formal or written solicitation (Request for Proposal, Request for Quote, or Invitation for Bids) must have been issued, or the contractor must otherwise have been furnished authority by the UA to disclose its classified information.

With classified visits, as with Personnel Security Clearances, it is necessary to keep the number down to the very minimum needed to do a job. This is not only better from the government's standpoint, but it also makes your job easier if there are fewer classified visitors to keep track of. Your counterpart at the host facility similarly benefits, as he or she is not responsible for an excessive number of visitors having access to classified information at his or her site.

To return to Electric Widget Services (EWS): Suppose Harriet, our FSO, is contacted by someone in the Service Department who says that the Gizmo Corporation has called to report a broken widget. The widget, which is repaired on site, has a SECRET level

classification. What steps does Harriet take to send a serviceman to Gizmo?

First, she must establish that access to classified information will be required to achieve the purpose of the visit. This may be determined in one of two ways. 1) Usually the need for access is determined from the Contract Security Classification Specification (DD Form 254) itself. 2) It may also be determined based on a notification from the host activity. Next, she must confirm that the serviceman to be sent is cleared to the SECRET level. Then she must complete a *visit authorization letter* (normally a letter) for the person in question. We'll go over the contents of the visit authorization letter shortly. The visit authorization letter is sent to the Facility Security Officer of Gizmo Corp., Wellington Minor. Wellington then has the responsibility of confirming the clearance of EWS. If this is the first time that EWS is being employed by Gizmo in its capacity as a cleared facility or if Wellington believes there may have been a change in EWS's FCL status, he confirms EWS's clearance by placing a telephone call to the Defense Security Service - Central Verification Activity (DSS-CVA). Or registering to go on-line and verify FCLs at www.dss.mil. Once the FCL status of the visitor facility has been established, *it is not necessary to repeat this procedure for every visit*. However, if there is ever any question as to the validity of a visit authorization letter, the DSS Field Office of the visitor's facility should always be contacted. Call the Security Department of the facility to get the telephone number of the local DSS Field Office.



JIMBO DUGGINS

If Gizmo Corp. calls the DSS-CVA, personnel there will check its computerized facility files to confirm the clearance level of EWS. Based on this confirmation or on an existing classified contract between the firms and on EWS's assurance, through the visit letter, that the serviceman is cleared, Gizmo Corp. may now OK the visit authorization letter. It is always up to the host facility to accept or deny a visit authorization letter. Normally, Gizmo Corp. would not call Harriet unless the visit authorization letter was *disapproved*.

After Harriet forwards the visit authorization letter to Gizmo, she tells the serviceman, in this case Jimbo Duggins, to go out to Gizmo on the date specified in the letter. She reminds him to carry some valid form of identification with his name and photo, such as a driver's license. Harriet retains a copy of the original visit authorization letter sent to Gizmo, and she keeps it on file until the visit has been completed. In this way she has a record of which cleared personnel are out on classified visits and where the visits are being made.

DSS/Central Verification Activity

**Go to www.dss.mil and click on “LOC, CVA & DCII.”
Then follow the instructions on the screen.
You may also call the CVA at 1-888-282-7682**

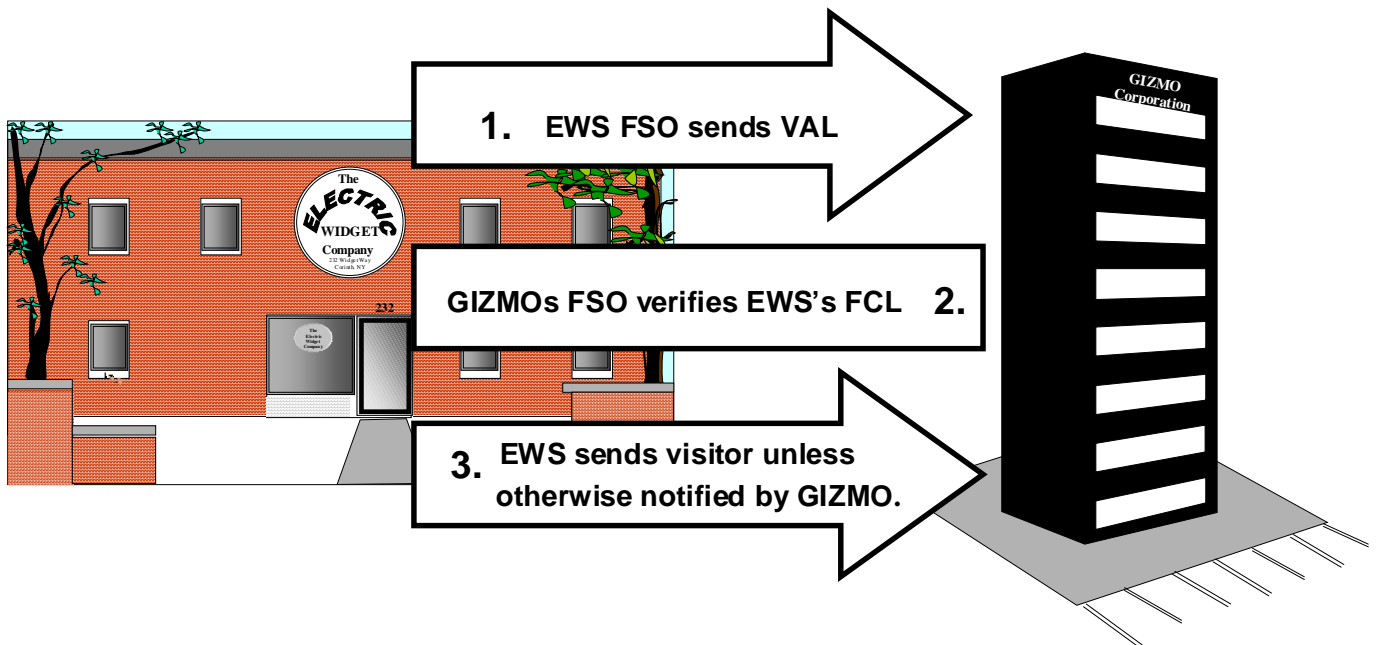
NON-CONTRACT RELATED VISITS

The difference between contract related visits and non-contract related visits is in the relationship between the contractor sending the visit authorization letter and the host contractor or host User Agency. If there is *no classified contractual relationship* between the sending contractor and the host, the visit is *non-contract related*.

Non-contract related visit procedures are the same as for contract related visits, except that the *facility making the disclosure is required to obtain disclosure approval from the User Agency that owns the specific information*. This certification is retained by the facility making the disclosure. *Note: This could be either the visitor's facility or the host facility.*

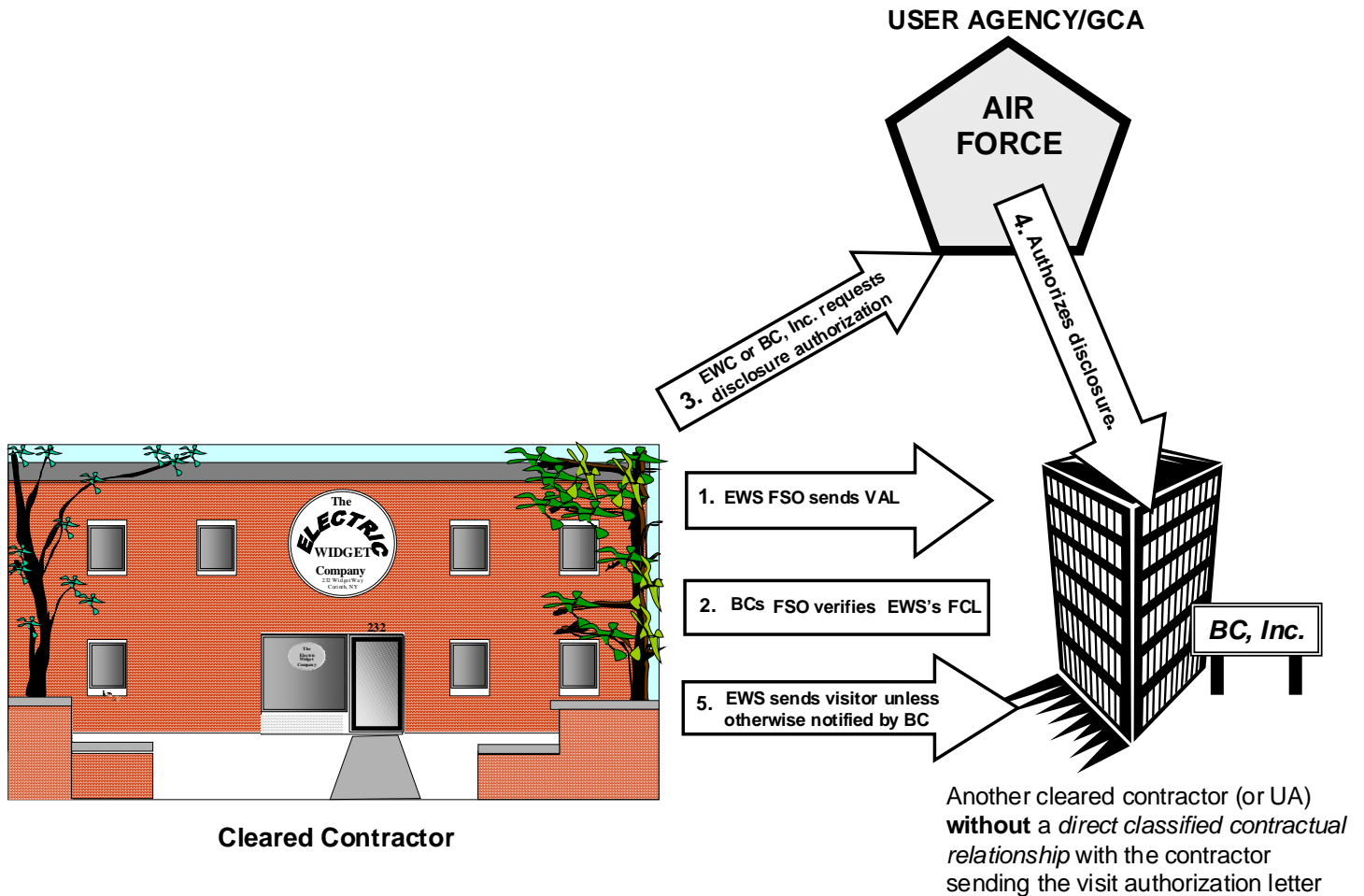
An example of a non-contract related visit would be when someone from EWS goes to visit Bowling Center, Inc. (BC). EWS and BC have no classified contractual relationship. BC is involved in the Air Force's Snark Project and has been furnished modified EWC widgets by the Air Force. The Air Force will probably contract with EWS to service the widgets once they begin taking delivery of Snark systems. EWS must meet with BC to determine how EWS personnel can service the EWC widgets which, in the Snark Project, will be encased in BC classified components.

CONTRACT RELATED VISIT



Another cleared contractor (or UA)
with a direct classified contractual
relationship with the contractor
sending the visit authorization letter

NON-CONTRACT RELATED VISIT



THE VISIT AUTHORIZATION LETTER

In addition to simply serving notice that a visit is forthcoming, a *visit authorization letter (VAL)* serves the following purposes:

- First, it allows the company being visited to confirm the clearance status of the company sending the VAL. We saw how this worked in the section above.
- Second, it gives the clearance level of the visitor, as vouched for by the FSO of the visitor's company. This information is incorporated into the request itself, along with a great deal of other information.
- Third, it provides the visitor's company a means of keeping track of their personnel who are out on classified visits. This can be easily done by filing a copy of the VAL. In this way, the FSO can identify any of the company's classified visitors should the need arise.



EXTENDED VISIT AUTHORIZATION LETTER

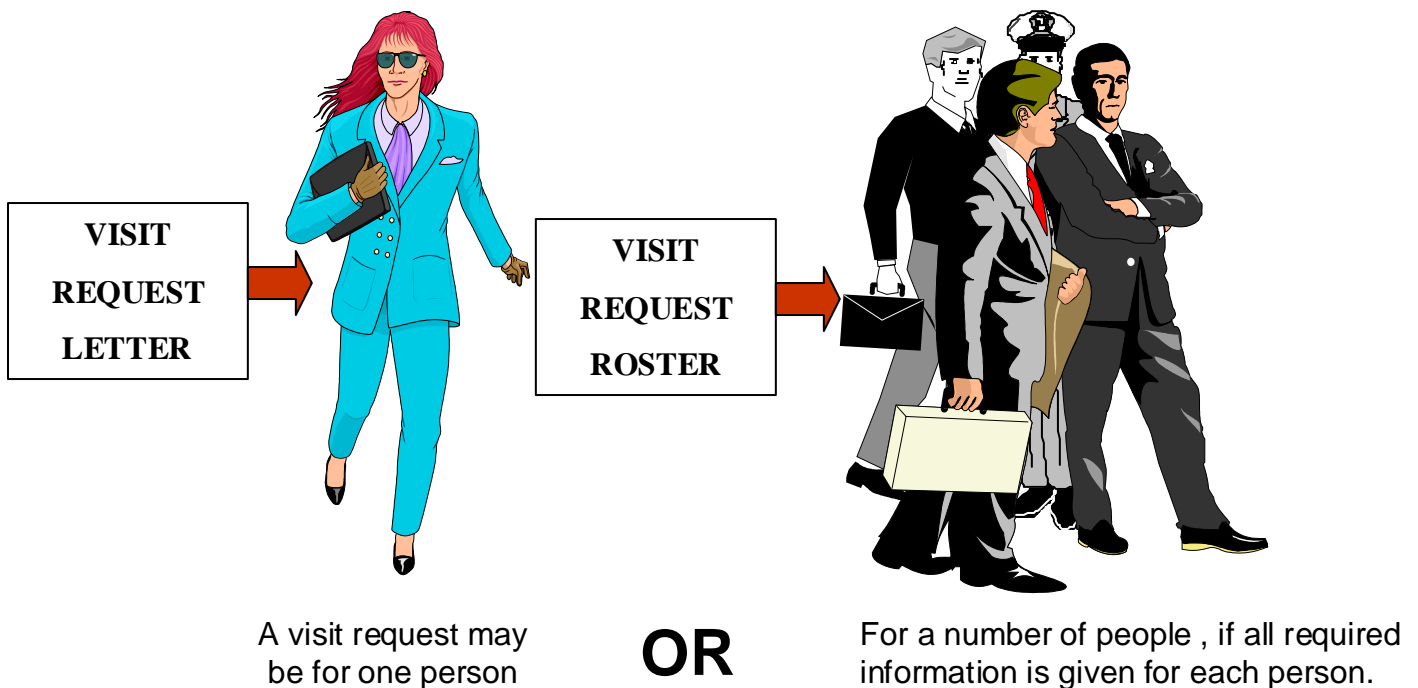
If several visits to the same place will be needed for up to a 12-month period, a single visit authorization letter may be submitted to cover all of the visits for the period. For contract related visits, the VAL may be approved for the life of the contract (see **NISPOM, 6-104**). The FSO of the visitor's facility is obligated to contact *all host facilities* with which such an extended VAL is in effect in the event of two types of changes: 1) changes in the *status of the visitor*, such as termination of employment, suspension, leave of absence, and the revocation or termination of the employee's clearance; and 2) changes in the *status of the visitor's company*, such as a change in the level of FCL or change of the FCL to a limited clearance.

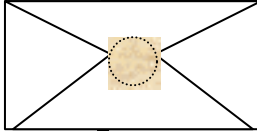
So keep in mind when making a report, if the report is on an employee who makes classified visits under an extended visit authorization letter, *all* such host facilities should be notified. And if there is a change in your facility's security clearance, *all* host facilities with which you have an extended VAL arrangement should be notified.

FORMAT

A visit authorization letter must contain the six basic elements listed in paragraph **6-103** of the NISPOM and found on the following page. There is no set format for a visit authorization letter. The NISPOM elements may be made into a form for use by your company, especially if a great number of classified visits are usual for your firm. Or it may take the form of a standard business letter. The format is unimportant,

as long as all of the required information is provided. A sample of one VAL format is shown on page 7-13. If a large number of visitors are sent to a particular company, rosters may be incorporated into the format of the visit authorization letter. All of the required information must be provided for each person on the roster.





CONTENTS OF A VAL

There is no standard format for a visit authorization letter (VAL). Across the page is a sample of one format. All visit authorization letters must contain these six items.

1. Requesting contractor's name, address, and telephone number, assigned CAGE Code, if applicable, and certification of the level of the facility security clearance. (If a limited clearance, so state.)
2. Name, date and place of birth, and citizenship of the employee intending to visit.
3. Requestor's certification of the level of personnel clearance of the proposed visitor and any special access authorizations required for the visit, such as NATO, CNWDI, or COMSEC. (If the clearance is interim or company-granted CONFIDENTIAL, or is an LAA, so state.) (Note that NISPOM paragraph 2-205 as amended states, "As of January 1, 2004 contractor granted Confidential clearances will no longer be valid for access to any classified information.")
4. Name of person(s) to be visited.
5. Purpose and sufficient justification for the visit to allow for a determination of the necessity of the visit. (Including a specific contract number, project, or program number will assist the recipient in making this determination. Do not use nicknames, abbreviations, short terms, or acronyms.)
6. Date or period during which the VAL is to be valid.

**Electric Widget Company
232 Widget Way
Corinth, New York 14623 1
716-555-0001**

May 23, 1999

Subject: VISIT AUTHORIZATION LETTER

Mr. Marvin Orthnic
Facility Security Officer
Gimcrack Enterprises, Inc.
707 Industrial Road
Baltimore, MD 21212

Dear Mr. Orthnic:

The following three EWC engineers will be at your facility the week of June 20 6
to meet with Donna Lloyd-Beckman, chief of your engineering department, 4
to discuss the upcoming Zinnia Project (#N0042-43-0000). 5

Visitors:

2

Selina K. Weller
Senior Engineer
14-11-57
Wendover, Nevada
U.S. citizen

Evan M. Pockley
Engineer
01-10-38
Canandaigua, New York
U.S. citizen

Walter C. Quom
Engineer
28-09-51
Raine, Louisiana
U.S. citizen

I hereby certify that the above individuals hold TOP SECRET clearances. 3
EWC has a TOP SECRET Facility Security Clearance and our CAGE Code
is 9Q111. 1

If any further information is required, please contact me at (716) 555-0021. 1

Yours sincerely,

Harold P. Huxtable

Harold P. Huxtable
Facility Security Officer



Visitor

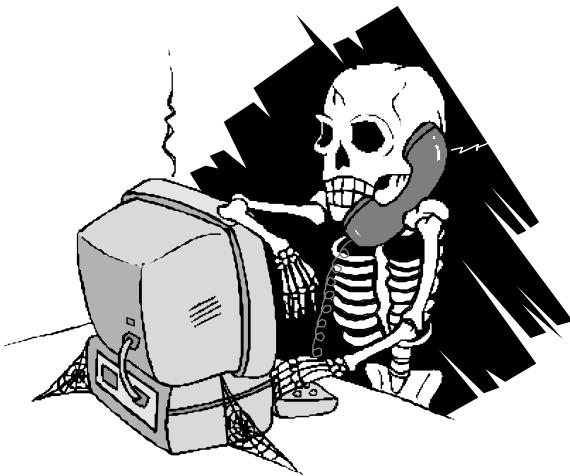
A visit authorization letter may cover a visit lasting for a day or less, a visit lasting for several days or more, repeated visits within a certain time frame—or visits throughout the life of the contract! An example of a brief visit would be one in which our repairman, Jimbo, pops over to Gizmo Corp. to replace a widget. The whole process takes only 1½ hours. If EWS had, say, a classified service contract with Gizmo that involved periodic maintenance, then EWS might issue a visit authorization letter to cover a certain period of time during which Jimbo could make repeated visits to Gizmo. Since Jimbo's visits to GIZMO are contract related, the VAL could be valid for more than one year.

Remember, VALs must always be submitted in writing. VALs may be sent by mail, facsimile, or teletype. Note: ***Note: Under no circumstances shall employee(s) be permitted to “hand-carry” their personal VAL(s) to the host facility.*** Such a procedure would not allow sufficient time for the host to verify required information for the visit. Additionally, electronic transmission including e-mail may be used. When using electronic means, access to the program must be controlled through physical or software protection and have digital signature authentication. If this capability is not available, the VAL must be sent via STU-III (a secure telecommunications unit). ***A telephonic request may be made in cases of genuine emergency, but it must be followed immediately by a written request.***

LONG TERM VISITORS



Long Term Visitor



Very Long Term Visitor

There is a special category of visit known as a long-term visit. This may involve more than merely the fact that the visit is of longer duration than usual. A long-term visit is one in which the employee of one company is physically located at another company for an extended period. An example of this type of visitor could be an electronics testing service, which sends employees to a cleared site to monitor equipment for the duration of that equipment's use. Or a temporary help supplier that sends specific administrative personnel to the same cleared site for an indefinite period. At EWS, an example might be when the company installs and monitors a SECRET widget at Gizmo Corp., the complexities of which require that a cleared EWS employee set up an office on-site for a year or more.

In all types of visits, the host is responsible for the visitor's actions regarding security. However long or short the stay of the visitors, each visitor must comply with the host facility's security procedures.

Golden Rule of Classified Visits

The security procedures of the host facility always rule.

WHAT YOUR EMPLOYEE CAN EXPECT DURING A VISIT

The DSS Field Office for the host facility always has the responsibility for the reviews. This office ensures that a visiting employee is properly safeguarding classified information and for notifying the host facility of any security violations on the part of that employee. In other words, when the time comes for the host facility's regular periodic review, the I.S. Rep(s) will check into the handling of classified visitors at that facility and check into how visitors (your personnel) are handling classified information at that facility. Just as it is the DSS Field Office's responsibility to ensure that the host facility is in compliance with all security regulations, including those pertaining to classified visits. It is the host facility's responsibility to oversee those visitors at its site.

Some, if not most, of the procedures your employees will have to observe while visiting a cleared facility will be new to them. The procedures for a facility handling classified information are necessarily more complex than those for a non-possessing facility. In addition to the wide range of rules governing the actual handling of classified information, there may be other security procedures in place.



One procedure that your visiting employee will certainly encounter is the visitor record. This will probably be a sign-in sheet (visitor log) requesting, at minimum:

- Visitor's name,
- Name of the activity represented.
- Date of the visit.

The host company may also have a badge system.

The important thing to remember is that the host facility bears the responsibility, not only enforcing the appropriate regulations, but explaining the procedures, to the extent necessary, to your employee(s). The host may also provide any special briefings that may be needed. Contractors are required to maintain a record of all visitors to their facility who have been approved for access to classified information.

SUMMARY

Within the NISP, a classified visit entails the visitor having access to classified information at the place visited. A contract related visit is one in which a cleared employee goes to the location of another cleared contractor or User Agency with which the visitor's firm has a classified contractual relationship. On visits between contractors, the FSOs of both the sending and receiving facilities have procedural obligations in arranging for the visit. **The FSO of the sending facility is responsible for providing a visit authorization letter (VAL) to the receiving facility.** The FSO of the receiving facility makes the decision to accept or deny the proposed visit and, if the visit is accepted, the FSO must ensure that the visitor follows the receiving facility's SPP, if one has been established. A non-contract related visit is one in which there is no classified contractual relationship between the two cleared contractors or user agency. **A non-contract related visit requires that the facility making the disclosure obtain disclosure approval from the user agency for the specific contract the classified information is related to.** When an extended visit authorization letter is in effect, the FSO of the visitor's facility must contact the host facility whenever the status of the visitor or of the visitor's facility changes. When there is a classified contractual relationship between the host and the visitor, a VAL may remain in effect for the duration of the classified contract.

7 Review Exercises

Complete the following exercises for review and practice.

Multiple-choice questions may have one or more correct choices.



1. Within the NISP, a "classified visit" involves the visitor having access to classified information at the place visited.
☐ True. ☐ False.
2. A contract related visit is one in which there is a c_____ relationship between the two cleared contractors involved, or the cleared contractor and the User Agency involved.
3. The definition of "classified contract" includes pre-contract negotiations.
☐ True. ☐ False.
4. A classified visit in excess of thirty days always requires a long-term visit agreement.
☐ True. ☐ False.
5. A visitor must comply with the security procedures of the host facility.
☐ True. ☐ False.

6. For each type of visit, number the steps in their correct order. For steps that are the responsibility of the *visitor's facility*, circle VF. For steps that are the responsibility of the *host facility*, circle HF.

Contract related:

- | | | | |
|-------|----|----|---|
| _____ | VF | HF | Approve visit (implied by no action to deny visitor) or deny visit (by written notification). |
| _____ | VF | HF | Confirm clearance status of visitor's facility. |
| _____ | VF | HF | Confirm clearance status of visitor. |
| _____ | VF | HF | Determine need for classified visit. |
| _____ | VF | HF | Control visitor's access during visit. |
| _____ | VF | HF | Send visit authorization letter. |

Non-contract related:

NOTE: For this part, we have indicated that it is the host facility that will be disclosing the classified information.

- | | | | |
|-------|----|----|--|
| _____ | VF | HF | Obtain disclosure authorization from the User Agency contracting officer for the specific contract the classified information is related to. |
| _____ | VF | HF | Approve visit (implied by no action to deny visitor) or deny visit (by written notification). |
| _____ | VF | HF | Confirm clearance status of visitor's facility. |
| _____ | VF | HF | Confirm clearance status of visitor. |
| _____ | VF | HF | Determine need for classified visit. |
| _____ | VF | HF | Control visitor's access during visit. |
| _____ | VF | HF | Send visit authorization letter with UA/prime contractor certification. |

- 7.** Colonial Widgets is under contract to Worldwide Widgets to distribute classified widgets in parts of Virginia and Maryland. George Washington Beniker, president of Colonial, will be going out to Worldwide soon to look at the new line of classified widgets.

This describes a _____ visit.

- 8.** What does Colonial's FSO do in connection with George's proposed visit?

- 9.** George got a call recently from Major Wingwright of the Air Force, advising him that there was a problem with the new classified widgets they received. It seems that the widgets were too small for the classified widget handles manufactured by Widget Accessories, Inc. George opined that the widgets were the right size. It was the widget handles that were too large. Maj. Wingwright suggested that George get together with someone from Widget Accessories and hash everything out. Maj. Wingwright indicated that an exchange of classified information would be involved. George knew that Widget Accessories was unaware of Colonial's involvement in the Air Force program.

If George visited Widget Accessories, it would be a _____
_____ visit.

- 10.** What steps must Colonial's FSO take?

- 11.** Polly Graham is on a classified visit to Bemis Co. under an extended visit authorization letter. While she is there, her FSO receives word that Polly has won the state lottery and is quitting her job, effective immediately. In addition to filing a report with DISCO, what must the FSO do?

7 - Solutions & References



1. True. (p. 7-2).
2. classified contractual. (p. 7-3).
3. True. (p. 7-3)
4. False. (p. 7-10; 7-14).
5. True. (pp. 7-15).
6. **Contract related:**

<u>5</u>	VF	<input checked="" type="radio"/> HF	Approve visit (implied by no action to deny visitor) or deny visit (by written notification).
<u>4</u>	VF	<input checked="" type="radio"/> HF	Confirm clearance status of visitor's facility.
<u>2</u>	<input checked="" type="radio"/> VF	HF	Confirm clearance status of visitor.
<u>1</u>	VF	<input checked="" type="radio"/> HF	Determine need for classified visit.
<u>6</u>	VF	<input checked="" type="radio"/> HF	Control visitor's access during visit.
<u>3</u>	<input checked="" type="radio"/> VF	HF	Send visit authorization letter.

Non-contract related:

- 4 VF (HF) Obtain disclosure authorization from the User Agency contracting officer for the specific contract the classified information is related to.
- 6 VF (HF) Approve visit (implied by no action to deny visitor) or deny visit (by written notification).
- 5 VF (HF) Confirm clearance status of visitor's facility.
- 2 (VF) HF Confirm clearance status of visitor.
- 1 (VF) HF Determine need for classified visit.
- 7 VF (HF) Control visitor's access during visit.
- 3 (VF) HF Send visit authorization letter.

NOTE: If the visitor's facility were the disclosing party, then the sequence would be 3, 6, 5, 2, 1, 7, 4.

(pp. 7-3--5).

7. contract related. (p. 7-3).
8. FSO confirms need for visit, verifies George's clearance level, and sends visit authorization letter to Worldwide Widgets. (pp. 7-3—4).
9. non-contract related. (p. 7-5).
10. The FSO must confirm need for visit, verify George's clearance level, request disclosure authorization for the classified information involved from the appropriate contracting officer at the Air Force GCA, and send a VAL to the host facility (Widget Accessories, Inc.). (p. 7-7).
11. Polly's FSO must notify the FSO at Bemis Co. of the termination of Polly's employment. (pp. 7-8—9).
12. The following item was omitted: Certification of the facility clearance level of EWS. (p. 7-10).